

PubMed Central Compliance Quick Guide for NIH Intramural Investigators

What Must Be Deposited

NIH Intramural authors are responsible for depositing all their manuscripts meeting the following criteria into PubMed Central:

- The manuscript was peer-reviewed; *and*
- the manuscript was accepted for publication in a journal on or after April 7, 2008; *and*
- the work described in the manuscript was funded in whole or in part by the NIH Intramural Research Program; *and*
- the manuscript was published in a language using a Latin script (*e.g.*, English).

How to Deposit

There are **four methods** by which manuscripts can be deposited in PubMed Central:

For **Method A** journals, the publisher handles all aspects of the deposition, so you are automatically credited with being compliant for these articles. The list of Method A journals can be found at http://publicaccess.nih.gov/submit_process_journals.htm

For manuscripts published in **Method B** journals, the journal will deposit the published article for a fee. You must make arrangements directly with the journal for the payment of this fee if you wish the journal to handle the deposition of the manuscript on your behalf. This method is optional, and manuscripts published in Method B journals can be deposited by another method.

For manuscripts published in **Method C** journals, one of the authors must handle all aspects of the deposition. This method must be used if the journal is not listed under Method A or D. The final accepted version of the manuscript should be submitted through the NIH Manuscript Submission System (NIHMS), at <http://nihms.nih.gov/>. After the initial submission is completed, you will receive an E-mail from NIHMS asking that you approve the Web proofs of your manuscript. *You must respond to NIHMS with your final approval to complete the submission process and for the manuscript to be considered compliant.*

You should submit your manuscript to NIHMS at the time the final manuscript is accepted for publication, even if the paper will not be made public immediately because of any embargo period imposed by the publisher. You can specify the appropriate embargo period for the release of your paper by PubMed Central at the time of submission to NIHMS.

Please note: Any author (not just the corresponding author) can submit/approve submission of a manuscript through NIHMS. It is the responsibility of ALL NIH authors (not just the corresponding author) to assure that all papers are compliant with the NIH Public Access Policy.

For manuscripts published in **Method D** journals, the publisher submits the manuscript to NIHMS, but the author still must review the Web proofs of the manuscript and provide final approval, as described above. *You must respond to NIHMS with your final approval to complete the submission process and for the manuscript to be considered compliant.* The list of Method D publishers can be found at http://publicaccess.nih.gov/select_deposit_publishers.htm

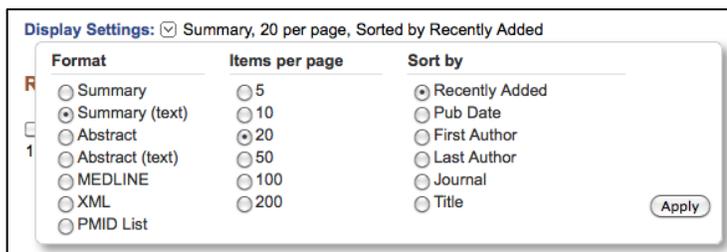
Using Entrez and the NIH Manuscript System to Determine PubMed Central Compliance

1. Using any up-to-date Web browser, access the NCBI home page, at <http://ncbi.nlm.nih.gov>.
2. To perform an author-based query, change the Search pull-down menu to PubMed, then enter your name in the search box at the top of the page using the following format:

Lastname AB [AU]

The [AU] tag will limit the query to the author field of all PubMed entries. Click *Search* to perform the search.

3. You will get a list of all articles associated with the name queried. Once the search results have been returned, click on the *Display Settings* link above the search results. In the pop-up menu that appears, change the format from "Summary" to "Summary (text)", then click *Apply*.



The results list will now be recast in plain text format. In this format, PubMed Central ID numbers (PMCID) are shown for all papers that appear in PubMed Central. Manually inspect the returned list of papers to determine whether any of these papers are not your own (e.g., cases where the author is someone else with the same name as yourself). Papers that are not your own do not need to be considered further.

4. Following is an example of a citation that is considered to be PMC compliant, since a PMCID appears at the end of the entry:

```
4: Ryan JF, Pang K, Schnitzler CE, Nguyen AD, Moreland RT, Simmons DK, Koch BJ, Francis WR, Havlak P; NISC Comparative Sequencing Program, Smith SA, Putnam NH, Haddock SH, Dunn CW, Wolfsberg TG, Mullikin JC, Martindale MQ, Baxevanis AD. The genome of the ctenophore Mnemiopsis leidyi and its implications for cell type evolution. Science. 2013 Dec 13;342(6164):1242592. doi: 10.1126/science.1242592. PubMed PMID: 24337300; PubMed Central PMCID: PMC3920664.
```

Since a PMCID is associated with this citation, no further action is necessary.

5. Following is an example of a citation that does not have a PMCID listed at the end of the citation; the entry only shows its associated PubMed ID (PMID):

```
1: Reid RJ, McBride CM, Alford SH, Price C, Baxevanis AD, Brody LC, Larson EB. Association between health-service use and multiplex genetic testing. Genet Med. 2012 May 17. doi: 10.1038/gim.2012.52. [Epub ahead of print] PubMed PMID: 22595941.
```

If this citation meets any of the following criteria, then the citation is not subject to the PMC reporting requirement.

- The article was not peer-reviewed.
- The article was written as an Outside Activity.
- The article was accepted for publication before April 7, 2008.
- The article was published in a language not using a Latin script (*e.g.*, Russian, Japanese).
- The article was published in a Method A journal.

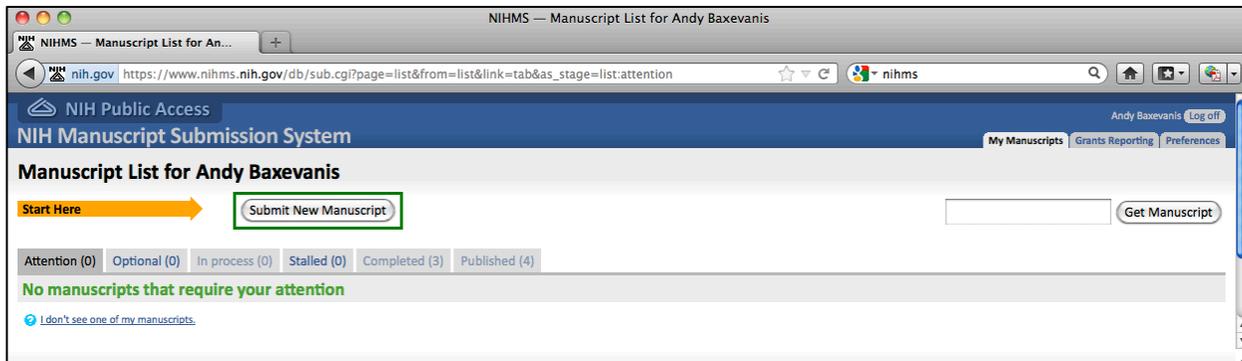
In cases where the citation meets any of the above criteria, the exemption can be noted in the NIH Intramural Database (NIDB), at <http://data.nidb.nih.gov/pmc/pubstatus.jsp>. Once on this page, select the link marked “Change Public Access Status”, then select one of the above criteria for exemption, thereby removing the manuscript from further consideration.

In the case shown above, the citation is subject to the deposition requirement, but it does not have a PMCID associated with it since it was recently published in a journal that does not submit papers directly to PubMed Central on behalf of the author. The next step requires logging into the NIH Manuscript Submission System (NIHMS) to see whether NIHMS is waiting for you to provide final approval of the PubMed Central version of your manuscript.

6. To access NIHMS, point your Web browser to <http://nihms.nih.gov>. To log in, follow the link in the yellow box in the upper right. On the next page, select “NIH & eRA Commons”, then log in with your single-sign on username and password (*i.e.*, the same username-password pair you use to log into your NIH E-mail account).

Once authenticated, you will be taken to the “Attention” page, which will indicate whether any papers you submitted through NIHMS require your attention. If a number appears next to the word “Stalled”, click on that tab to take final action on papers that require your attention.

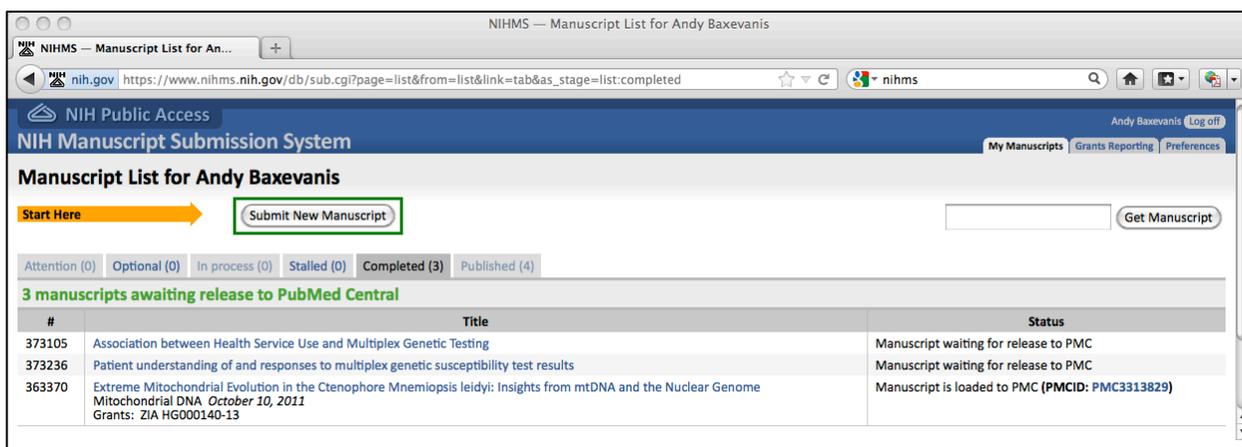
Please note that all papers in the Stalled queue are considered to be non-compliant. If there are papers in the Stalled queue, please follow the instructions provided on the Stalled page to finalize your PMC submission(s).



7. In this case, clicking on the “Completed” tab indicates that the Reid *et al.* manuscript shown in Step 5 (above) is PMC compliant. A paper is considered compliant if the “Status” column in the report shown below displays either of the following messages:

- “Manuscript waiting for release to PMC”
- “Manuscript is loaded to PMC (PMCID: PMCnnnnnnn)”

The NIHMS IDs for these manuscripts are shown in the first column (labeled “#”) of the report shown below.



8. If the manuscript does not appear in your NIHMS list, then either no one has submitted it to NIHMS, or it was submitted in the name of one of your co-authors and it is stalled in that person’s queue. In either of these cases, you can submit the manuscript yourself.

9. If you require additional assistance in determining whether you have met your PMC reporting requirement or need assistance with the NIHMS submission process, please contact either:

- The NIHMS Help Desk, at publicaccess@nih.gov.
- The PMC coordinator for your Institute.